

03/28/01

11059 U.S. PTO

Please type a plus sign (+) inside this box → ☐

23-29-01

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. 4800-091

First Inventor Michael A. Zawadzki et al.

Title Reduced Ignition Propensity Smoking Article With A Polysaccharide Treated Wrapper

Express Mail Label No. EL 681324840 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 37]
(preferred arrangement set forth below)
- Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
5. Oath or Declaration [Total Pages 1]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for a continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATIONS PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☒ 37 C.F.R. §3.73(b) Statement ☒ Power of Attorney (unsigned)
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: 8 references attached to application

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information: Examiner _____

of prior application No: _____ / _____

Group / Art Unit: _____

For **CONTINUATION** or **DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS☒ Customer Number or Bar Code Label

04678

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Howard A. MacCord, Jr.

Registration No. (Attorney/Agent)

28,639

Signature

x

Date

March 28, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

35742

FEE TRANSMITTAL for FY 2001		Complete if Known		
		Application Number		
Patent fees are subject to annual revision.		Filing Date		
		First Named Inventor	Michael A. Zawadzki et al.	
		Examiner Name		
		Group / Art Unit		
TOTAL AMOUNT OF PAYMENT	(\$)	3668.00	Attorney Docket No.	4800-091

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)	
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:		3. ADDITIONAL FEES	
Deposit Account Number	18-1164	Fee Code	Fee (\$)
Deposit Account Name	Rhodes & Mason PLLC	Large Entity Fee Code	Small Entity Fee (\$)
<input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17		Fee Description	Fee Paid
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		105 130 205 65	Surcharge - late filing fee or oath
2. <input checked="" type="checkbox"/> Payment Enclosed:		127 50 227 25	Surcharge - late provisional filing fee or cover sheet.
<input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other		139 130 139 130	Non-English specification
FEE CALCULATION		147 2,520 147 2,520	For filing a request for reexamination
1. BASIC FILING FEE		112 920* 112 920*	Requesting publication of SIR prior to Examiner action
Large Entity Fee Code	Fee (\$)	113 1,840* 113 1,840*	Requesting publication of SIR after Examiner action
Small Entity Fee Code	Fee (\$)	115 110 215 55	Extension for reply within first month
Fee Description	Fee Paid	116 390 216 195	Extension for reply within second month
101 710 201 355	Utility filing fee	117 890 217 445	Extension for reply within third month
106 320 206 160	Design filing fee	118 1,390 218 695	Extension for reply within fourth month
107 490 207 245	Plant filing fee	128 1,890 228 945	Extension for reply within fifth month
108 710 208 355	Reissue filing fee	119 310 219 155	Notice of Appeal
114 150 214 75	Provisional filing fee	120 310 220 155	Filing a brief in support of an appeal
SUBTOTAL (1)		121 270 221 135	Request for oral hearing
(\$ 710)		138 1,510 138 1,510	Petition to institute a public use proceeding
2. EXTRA CLAIM FEES		140 110 240 55	Petition to revive - unavoidable
Total Claims	151 -20 = 131	141 1,240 241 620	Petition to revive - unintentional
Independent Claims	10 -3 = 7	142 1,240 242 620	Utility issue fee (or reissue)
Multiple Dependent		143 440 243 220	Design issue fee
Large Entity Fee Code	Fee (\$)	144 600 244 300	Plant issue fee
Small Entity Fee Code	Fee (\$)	122 130 122 130	Petitions to the Commissioner
Fee Description	Fee Paid	123 130 123 130	Petitions related to provisional applications
103 18 203 9	Claims in excess of 20	126 180 126 180	Submission of Information Disclosure Stmt
102 80 202 40	Independent claims in excess of 3	581 40 581 40	Recording each patent assignment per property (times number of properties)
104 270 204 135	Multiple dependent claim, if not paid	146 710 246 355	Filing a submission after final rejection (37 CFR § 1.129(a))
109 80 209 40	** Reissue independent claims over original patent	149 710 249 355	For each additional invention to be examined (37 CFR § 1.129(b))
110 18 210 9	** Reissue claims in excess of 20 and over original patent	179 710 279 355	Request for Continued Examination (RCE)
SUBTOTAL (2)		169 900 169 900	Request for expedited examination of a design application
(\$ 2918)		Other fee (specify) _____	
**or number previously paid, if greater; For Reissues, see above		*Reduced by Basic Filing Fee Paid	
		SUBTOTAL (3)	
		(\$ 40)	

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Howard A. MacGord, Jr.	Registration No. Attorney/Agent	28,639
Signature		Telephone	(336) 273-4422
		Date	March 28, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**REQUEST AND CERTIFICATION
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor	Michael A. Zawadzki et al.
Title	Reduced Ignition Propensity Smoking Article With A Polysaccharide Treated Wrapper
Atty Docket Number	4800-091

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

March 28, 2001

Date


Signature

Howard A. MacCord, Jr., Reg. No. 28,639

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Commissioner for Patents
Washington, DC 20231

Sir:

CERTIFICATE OF MAILING/EXPRESS MAIL

"Express Mail" Mailing Label Number EL 681324840 US

Date of Deposit March 28, 2001

I hereby certify that this paper, which is a utility patent application entitled
REDUCED IGNITION PROPENSITY SMOKING ARTICLE WITH A
POLYSACCHARIDE TREATED WRAPPER (our file 4800-091), and the attached fee are
being deposited with the United States Postal Service "Express Mail Post Office to
Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the
Commissioner for Patents, Washington, DC 20231.

Art MacCord
Registration No. 28,639

Mailed By: Lorna D. Selvaggio
Lorna D. Selvaggio